



PATENT
Docket No. 1232-4412US1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

#9
T. BELL
7.12.02

Applicant(s) : K. YANAGITA et al.

Serial No. : 09/931,771 /

Group Art Unit : 2827

Filed : August 20, 2001

Examiner : D. Graybill

For : WAFER PROCESSING APPARATUS AND METHOD, WAFER CONVEY
ROBOT, SEMICONDUCTOR SUBSTRATE FABRICATION METHOD, AND
SEMICONDUCTOR FABRICATION APPARATUS

FOURTH INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
Washington, D.C. 20231

Sir:

This Information Disclosure Statement is filed in accordance with 37 C.F.R. 1.812

§§1.56, 1.97 and 1.98. The items listed on Form PTO-1449, a copy of which is enclosed, are
made of record to assist the Patent and Trademark Office in its examination of this application.

The Examiner is respectfully requested to fully consider the items and to independently ascertain
their teaching.

1. ☒ For each of the following items listed on the enclosed copy of Form PTO-1449 that is
not in the English language, an English language translation of that item or a portion
thereof or a concise explanation of the relevance of that item is enclosed:
2. ☐ For each of the following items listed on the enclosed copy of Form PTO-1449 that is
not in the English language, a concise explanation of the relevance of that item is
incorporated in the specification of the above-identified application.
3. ☐ Any copy of the items listed on the enclosed copy of Form PTO-1449 that is not
enclosed with this Information Disclosure Statement was previously cited by or
submitted to the Patent and Trademark Office in application Serial No. _____, filed
_____.

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4. ☐ No fee is due under 37 C.F.R. §1.17(p) for this Information Disclosure Statement since it is being filed in compliance with:
- ☐ 37 C.F.R. §1.97(b)(1), within three months of the filing date of a national application other than a CPA; or
 - ☐ 37 C.F.R. §1.97(b)(2), within three months of the date of entry into the national stage as set forth in §1.491 in an international application; or
 - ☐ 37 C.F.R. §1.97(b)(3), before the mailing date of a first Office action on the merits; or
 - ☐ 37 C.F.R. §1.97(b)(4) before the mailing date of a first office action after the filing of an RCE under §1.114.
5. ☐ No fee is due under 37 C.F.R. §1.17(p) for this Information Disclosure Statement since it is being filed in compliance with 37 C.F.R. §1.97(c), after the period specified in paragraph 4 above but before the mailing date of a final action or a Notice of Allowance (where there has been no prior final action), and is accompanied by one of the certifications pursuant to 37 C.F.R. §1.97(e) set forth in paragraph 9 below.
6. ☒ A fee is due under 37 C.F.R. §1.17(p) for this Information Disclosure Statement since it is being filed in compliance with 37 C.F.R. §1.97(c), after the period specified in paragraph 4 above but before the mailing date of a final action or a notice of allowance (where there has been no prior final action):
- ☒ A check in the amount of \$180.00 is enclosed in payment of the fee.
 - ☐ Charge the fee to Deposit Account No. 13-4503, Order No. _____. A
DUPLICATE COPY OF THIS SHEET IS ATTACHED.
7. ☐ A fee is due under 37 C.F.R. §1.17(p) for this Information Disclosure Statement since it is being filed in compliance with 37 C.F.R. §1.97(d), after the mailing date of a final action or a notice of allowance, whichever comes first, but before payment of the issue fee, and is accompanied by:
- a. one of the certifications pursuant to 37 C.F.R. §1.97(e) set forth in paragraph 9 below; and
 - b. the fee due under 37 C.F.R. §1.17(p) which is paid as set forth in paragraph 11 below.

8. ☐ This Information Disclosure Statement is being filed in compliance with:
- a. ☐ 37 C.F.R. §1.313(b)(3) or §1.313(c)(1), after the issue fee has been paid and information cited in this Information Disclosure Statement may render at least one claim unpatentable and is accompanied by the attached Petition To Withdraw Application From Issue and fee pursuant to 37 C.F.R. §1.17(h);
 - b. ☐ 37 C.F.R. §1.313(c)(2) or §1.313(c)(3), after the issue fee has been paid and information cited in this Information Disclosure Statement is to be considered in a Request for Continued Examination (RCE) or a Continuation application upon abandonment of the instant application and is accompanied by the attached Petition To Withdraw Application From Issue and fee pursuant to 37 C.F.R. §1.17(h).
 - c. ☐ The fee due under 37 C.F.R. §§1.17(h) is paid as set forth in paragraph 11 below.
9. ☐ I hereby certify that each item of information contained in this Information Disclosure Statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement.
- ☐ I hereby certify that no item of information in the Information Disclosure Statement filed herewith was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three months prior to the filing of this Information Disclosure Statement.
10. ☐ This document is accompanied by ☐ a Search Report ☐ Communication which was cited in a corresponding ☐ PCT or ☐ Foreign counterpart application.
11. ☒ A check in the amount of \$180.00 is enclosed in payment of the fees due under 37 C.F.R. §§1.17(h) and 1.17(p).
12. ☐ Charge the fees due under 37 C.F.R. §§1.17(h) and 1.17(p) to Deposit Account No. 13-4503, Order No. 1232-4412US1.

- ☒ The Commissioner is hereby authorized to charge any additional fees which may be required for this Information Disclosure Statement, or credit any overpayment to Deposit Account No. 13-4503, Order No. 1232-4412US1.

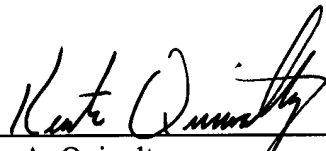
Respectfully submitted,

MORGAN & FINNEGAN, L.L.P.

Dated: _____

6/20/02

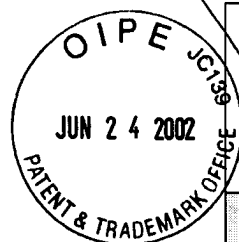
By: _____


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FORM: IDS.NY
Rev. 11/13/97



FORM PTO-1449

Attorney Docket:
1232-4412US1Serial No.:
09/931,771**INFORMATION DISCLOSURE CITATION**Applicant:
Yanagita et alExaminer:
D. GraybillFiling Date:
8/20/2001Group Art Unit:
2827**U.S. PATENT DOCUMENTS**

Examiner Initial		Document Number	Date	Name	Class	Sub-Class	Filing Date
	AA						
	AB						
	AC						
	AD						
	AE						
	AF						
	AG						

FOREIGN PATENT DOCUMENTS

		Document Number	Date	Country	Class	Sub-Class	Abstract/ Translation
	AH	JPA9-92803	4/4/1997	Japan			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
	AI						<input type="checkbox"/> Yes <input type="checkbox"/> No
	AJ						<input type="checkbox"/> Yes <input type="checkbox"/> No
	AK						<input type="checkbox"/> Yes <input type="checkbox"/> No
	AL						<input type="checkbox"/> Yes <input type="checkbox"/> No
	AM						<input type="checkbox"/> Yes <input type="checkbox"/> No
	AN						<input type="checkbox"/> Yes <input type="checkbox"/> No
	AO						<input type="checkbox"/> Yes <input type="checkbox"/> No

OTHER DOCUMENTS (Including Author, Title, Date, etc.)

	AP	
	AQ	
	AR	

Examiner

Date Considered

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP §609.
Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.